



#4

Docket No. 2000-022R1
PATENT

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on 7.30.01.

BY: Renee Lamantia
Renee Lamantia

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Bergh et al.	
Serial No.:	09/801, 390	Group Art Unit: 1764
Filed:	March 7, 2001	
For:	Parallel Flow Process Optimization Reactor	Examiner: Unknown

Assistant Commissioner for Patents
Washington, D.C. 20231

**PETITION UNDER 37 CFR 1.10(c) TO CORRECT INCORRECTLY ENTERED DATE-IN
FILING DATE AS OF MAILING DATE VIA EXPRESS MAIL**

Dear Sir:

Applicant petitions that this application be accorded the "Date In" date as the filing date on which the papers were sent "Express Mail Post Office to Addressee" mailing label No. EL418494554US on March 7, 2001.

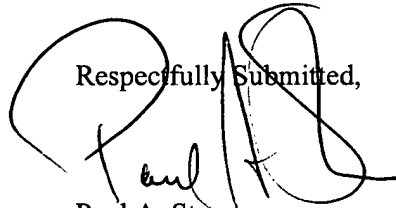
Submitted herewith is:

- 1) A copy of the utility patent application transmittal showing the executed Express Mail certificate and mailing label number. (4 pages)
- 2) A copy of the first page of the patent application indicating the mail label No. EL418494554US. (1 page)
- 3) A copy of the corresponding U.S. Post Office Express Mail label receipt establishing the deposit of the Express Mail with the USPS on March 7, 2001. (1 page)
- 4) A copy of the Applicant's internal mailing log showing dispatch of the above-identified application as Express Mail label No. EL418494554US on March 7, 2001. (1 page)
- 5) A copy of the Express Mail Mailing Statement establishing the deposit date with the U.S. Post office as March 7, 2001. (1 page)
- 6) A copy of the Filing Receipt indicating the erroneous Filing Date as March 8, 2001. (1 page)

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The Applicant's believe that no fee is due, however, The Examiner is authorized to charge any fees to Deposit Account due to Account No. 50-0496.

Respectfully Submitted,



Paul A. Stone

Registration No. 38,628

7.27.01

Symyx Technologies, Inc.
3100 Central Expressway
Santa Clara, CA 95051
Tel: (408) 764-2000
Fax: (408) 773-4029

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EL418494554US

Attorney Docket Number : 2000-022
First Inventor or
Application Identifier : Bergh, H. Sam et al.
Title : Parallel Flow Process Optimization Reactor
Express Mail Label No. : EL 418494554US
Date of Deposit : March 7, 2001

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above, addressed to: Assistant Commissioner of Patents, Box Patent Application Washington, D.C. 20231

By: Renee Lammanta

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

UTILITY PATENT APPLICATION TRANSMITTAL

APPLICATION ELEMENTS

1. ☒ FEE

TOTAL AMOUNT OF PAYMENT: \$ 2190.00

METHOD OF PAYMENT

The Commissioner is hereby authorized to charge the filing fee and any other fees and credit any overpayments to:

Deposit Account Number: 50-0496

Deposit Account Name: Symyx Technologies

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

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FEE CALCULATION

BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$ 355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
SUBTOTAL (1)					(\$) 355.00

EXTRA CLAIM FEES

Extra Claims				Fee from below		Fee Paid
Total Claims	201	-20** =	180	X	9	\$1620.00
Independent Claims	5	-3** =	2	X	40	\$ 80.00
Multiple dependent claims (first appearance)						\$ 270/135 \$135.00
SUBTOTAL (2)						(\$) 1835.00

**or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

2. ☒ Applicant claims small entity status. 37 C.F.R. § 1.27.

3. ☒ Specification [Total Pages 124]

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 47]

5. ☒ Oath or Declaration [Total Pages 4]

a. ☐ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 18 completed) [Note Box 5 below]

i. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33 (b)

6. ☒ Application Data Sheet 37 C.F.R. §1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

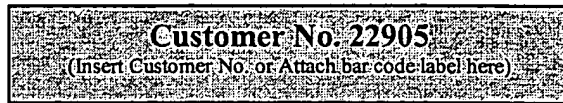
8. ☐ Nucleotide and/or Amino Acid Sequence Submission ☐ Computer Readable Form (CRF)
(if applicable, or necessary) ☐ Spec. Sequence Listing on
☐ CD-ROM or CD-R (2 copies)
☐ paper
☐ Stmt. verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet and document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. § 122(b)(2)(B)(i)
(attach PTO/SB/35 or equivalent)
17. ☐ Other:
18. **IF A CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:
- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) ☒ Non-Provisional of Provisional
- of prior application No: 60/187,566 filed 03/07/2000;
60/229,984 filed 09/02/2000; and
09/518,794 filed 03/03/2000
- Prior application information: Examiner: N/A Group/Art Unit: N/A

18. CORRESPONDENCE ADDRESS:

☒ Customer Number or Bar Code Label



or

☐ Correspondence Address below:

Date: 3-7-01

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Paul A. Stone". The signature is written over the printed name.

Paul A. Stone
Reg. No. 38,628
Attorney for Applicant

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PARALLEL FLOW PROCESS OPTIMIZATION REACTOR

[0001] This application is a continuation-in-part of co-owned, co-pending U.S. patent application Ser. No. 09/518,794, entitled "Chemical Processing Microsystems, Diffusion-Mixed Microreactors and Methods for Preparing and Using Same", filed March 3, 2000 by Bergh *et al.*. The present invention is also related to, and claims priority to co-owned, co-pending U.S. patent application Ser. No. 60/187,566 entitled "Apparatus and Methods for Multi-Variable Optimization of Reaction Systems and Other Chemical Processing Microsystems", filed March 7, 2000 by Bergh *et al.*, and to co-owned, co-pending U.S. patent application Ser. No. 60/229,984 entitled "Apparatus and Methods for Optimization of Process Variables in Reaction Systems and Other Chemical Processing Systems", filed September 2, 2001 by Bergh *et al.*

BACKGROUND OF INVENTION

[0002] The present invention generally relates to materials science research, and specifically, to combinatorial (*i.e.*, high throughput) materials science research directed toward the identification and/or optimization of new materials. The invention particularly relates, in preferred embodiments, to apparatus and methods for optimizing chemical reaction systems, such as chemical reaction systems involving heterogeneous catalysts.

[0003] In recent years, significant efforts have been extended toward developing parallel systems, such as parallel reactors, for the purpose of screening different materials, such as heterogeneous catalysts, for particular properties of interest, such as catalysis. U.S. Patent No. 5,985,356 to Schultz *et al.* discloses synthesis and screening arrays of materials in parallel for catalysis, and U.S. Patent No. 6,063,633 to Willson discloses parallel flow reactors, and parallel screening techniques (*e.g.*, thermography, chromatography, *etc.*) for evaluating catalysis. A substantial portion of such effort has, however, focussed on apparatus and methods for evaluating compositional space of the materials (*e.g.*, heterogeneous catalysts) of interest, while only a relatively small portion of such effort has been directed toward apparatus and methods for evaluating other parameter spaces – in addition to compositional space. More specifically, for example, in

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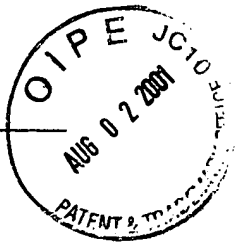
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Date & time of log entry	Signature of person mailing the papers	Express Mail No.	Application No./Description	Docket No.	Place, Date & Time of Deposit
2/27/01 10:00a	Rh	EL 443560496	98-13CIP DIVI	New App	Snyvl 2/26/01 5:26p
2/27/01 10:5am	Rh	EL 418494545	New App	95-2 DIVI	Snyvl 2/26/01 5:26p
3/9/01 9:30a	Rh	EL 418494545	New Prov.	2001-019(P1)	SF 3/7/01 8:04p
3/9/01 9:30a	Rh	EL 418494585	New Reg.	99-58P1	SF 3/7/01 8:03p
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3/9/01 9:30a	Rh	EL 418494554	New App	2000-022	SF 3/7/01 8:00p
3/22/01 8:25pm	B.S. Shadley	EL 493560465	CPA New App	99-40P1	Snyvl 4/26/01 3:55p
4/27/01 12:57p	Rh	EL 418494608	X of time	2000-022 PET	Snyvl 5/19/01 1:10p
5/11/01 10:55a	Rh	EL 493560479	CPA	99-111CIP1	Snyvl 5/10/01 1:36p
5/17/01 3:56pm	Rh	EL 493560482	RCE	97-2 RCE	Snyvl 5/17/01 3:52pm
5/17/01 1:45pm	Rh	EL 493560487	CIP	2000-089P01	Snyvl 5/17/01 1:34pm
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5/25/01 9:00am	Rh	EL 493560485	New DIV	99-11 DIVI	Meridian 5/22/01 5:55pm
6/2/01 10:00am	Rh	EL 418494863	New UTL	98-14CIP4(P1)	Sunnyvale 6/1/01 5:13p
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6/7/01 9:50am	Rh	EL 418494903	Prv (new)	2001-033	Meridian 6/6/01 6:01pm



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PAGE: 1

EXPRESS MAIL CORPORATE ACCOUNT
MAILING STATEMENT

ACCOUNT NO: 950931

PERIOD: 02/24/01 - 03/23/01

DATE	CHARGE BACK	LABEL NUMBER	ORIG ZIP	DEST ZIP	ADJ # REF *	POSTAGE	FEES		DEPOSITS	WITH- DRAWALS	CDA LEG
							PICKUP	DELIVERY			
BEGINNING BALANCE:						165.80					
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02/26/01		EL493560496US	94086	20231		16.00					
03/07/01		EL418494554US	94128	20231		18.85					
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03/07/01		EL418494585US	94128	20231		16.00					
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(A) TOTAL CHARGES :						123.35	0.00	0.00			
(B) TOTAL ADJUSTMENTS (*):						0.00	0.00	0.00			
(C) TOTAL REFUNDS (*):						0.00	0.00	0.00			
TOTAL (A + B - C):						123.35	0.00	0.00			
03/12/01									500.00		
ENDING BALANCE:						542.45					

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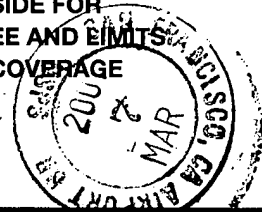
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PO ZIP Code <i>95051</i>	Day of Delivery <input type="checkbox"/> Next <input checked="" type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>	
Date In Mo. <i>3</i> Day <i>07</i> Year <i>01</i>	<input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$ <i>15.85</i>	
Time In <i>70.00</i> <input type="checkbox"/> AM <input checked="" type="checkbox"/> PM	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee	
Weight lbs. <i>1</i> ozs.	Int'l Alpha Country Code	COD Fee	Insurance Fee
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials	Total Postage & Fees \$ <i>15.85</i>	

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FROM: (PLEASE PRINT) PHONE () OFC SYMYX TECHNOLOGIES 3100 CENTRAL EXPY SANTA CLARA CA 95051-0801 <i>2000 022</i>	TO: (PLEASE PRINT) PHONE () <i>Box New Application</i> <i>Assistant Commissioner</i> <i>For Petrole</i> <i>Washington DC 20231</i>
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